North Carolina
Criminal Justice Data Integration
Pilot Program

Quarterly Report
October 2009

North Carolina
Office of the State Controller

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I. Background

The Office of the State Controller (OSC) was charged with the responsibility of developing a statewide collaborative effort to modernize and standardize key business processes. The BEACON Data Integration Program was created by Session Law 2007-323, House Bill 1473 (Appendix A), and consequentially the development of a Strategic Plan for Statewide Data Integration. (See also Session Law 2008-107, House Bill 2436 - Appendix B).

A goal of the BEACON Data Integration Program is to provide a statewide framework that equips agencies with enterprise analytical capabilities for improved decision making. The Plan calls upon senior leadership to champion a cultural shift promoting data sharing and encouraging business leaders to become stewards rather than owners of the State's data assets.

Data integration's foundation is based on merging and reconciling dispersed data for analytical purposes through the use of standardized tools to support quick, agile, event-driven analysis for business.   In short, its mission is to transform data into meaningful information for business decisions.

In 2008 the number of disparate data sources and lack of integration across the criminal justice continuum was brought to the public's attention.   In response, and in alignment with the BEACON Data Integration Strategic Plan, the General Assembly directed the Office of the State Controller, in cooperation with the State Chief Information Officer, and the BEACON Program Steering Committee, to develop and implement a Criminal Justice Data Integration Pilot Program in Wake County. The pilot program's goal is to provide criminal justice professionals with access to timely, complete and accurate information for enhanced decision making. The pilot application has been named Criminal Justice Law Enforcement Automated Data Services (CJLEADS).

The CJLEADS State project team is managed by the OSC. Subject matter expertise and guidance on industry best practices is being provided with the assistance of George Ake of the National Institute of Justice, Fletcher Clay, former Colonel of the North Carolina State Highway Patrol, and Ike Avery, former Senior Deputy Attorney General of the NC Office of the Attorney General.

This report summarizes the Wake County Criminal Justice Data Integration Pilot Program activities since the July 1, 2009 quarterly report.

II. Criminal Justice Pilot Program for Wake County

Session Law 2008-107, House Bill 2436 recognized the urgent need for state-of-the-art integrated criminal justice information and mandated:

- The development and implementation of a framework for sharing of critical information as soon as possible.

- The Criminal Justice Advisory Committee, the Department of Justice, the Administrative Office of the Courts, the Department of Juvenile Justice and Delinquency Prevention, the Department of Correction, the Department of Crime Control and Public Safety, the Department of Transportation, and local law enforcement agencies shall fully cooperate with the Office of the State Controller and the State Chief Information Officer, to identify the informational needs, develop a plan of action, provide access to data, and implement secure integrated applications for information sharing of criminal justice and corrections data.

- The development and implementation of a Criminal Justice Data Integration Pilot Program in Wake County on May 1, 2009.

  The pilot shall:
    o integrate and provide up-to-date criminal information in a centralized location via a secure connection;
    o comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under Federal and State law shall be limited to authorized persons

(A). Objective

The objective of the data integration criminal justice pilot program for Wake County is to identify the criminal justice informational needs and develop an integrated solution that is scalable for use by State and local criminal justice professionals.

(B).   Summary

The criminal justice continuum is complex with multiple rules and decisions points. The following process map developed by US Department of Justice reflects the sequence of events.
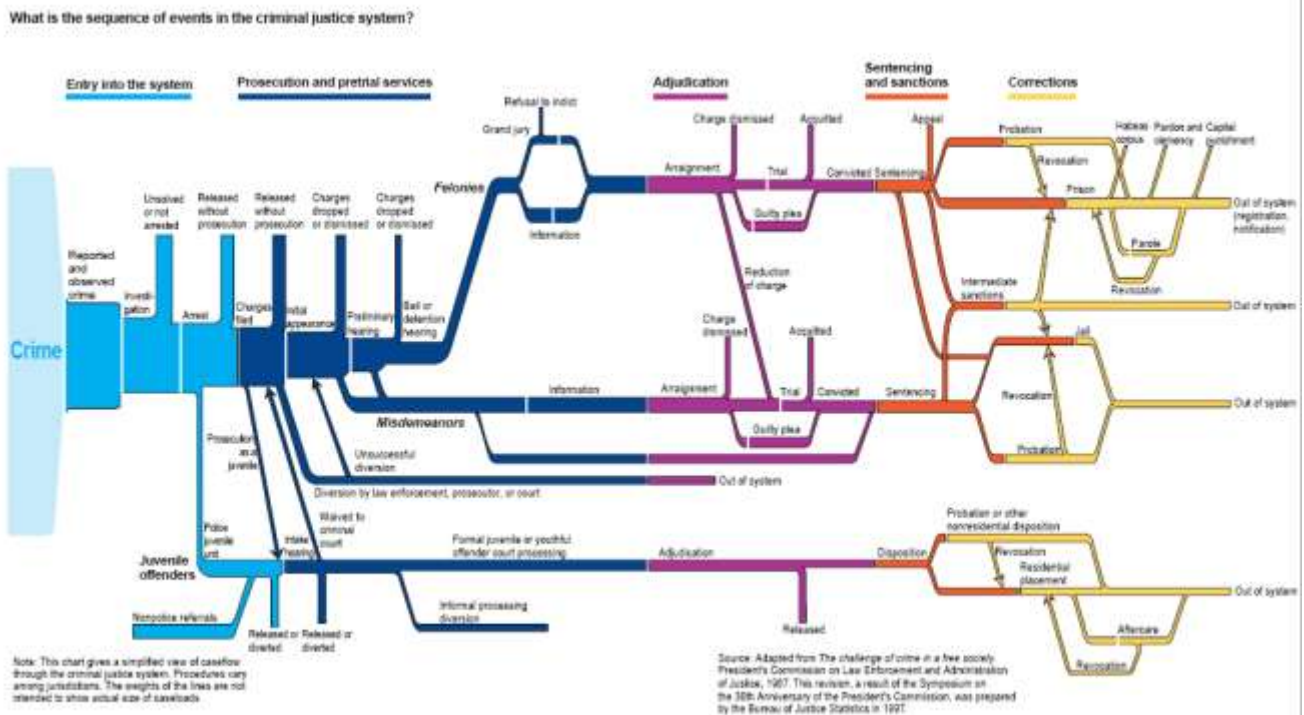
This map demonstrates the number of decision points within the criminal justice workflow. Each decision point represents a scenario where valid, up-to-date information is critical to ensuring public safety. North Carolina uses multiple systems and applications, resulting in varied layers of disparate data.

The Criminal Justice Pilot Program's goal is to integrate disparate criminal justice data into meaningful information which can be used by law enforcement and others involved in the administration of justice to make better informed decisions.

(C). Approach

The following groups and individuals are collaborating in the development of the Criminal Justice Pilot Program: the BEACON Program Steering Committee, the Criminal Justice Advisory Committee, and the Criminal Justice Pilot Program Project Team. A complete listing of the team members can be found in Appendix C.

Session Law 2008-107, House Bill 2436, Section 6.8.(c) 4, states "To conduct integration activities as approved by the BEACON Program Steering Committee. The State Chief Information Officer shall utilize current enterprise licensing to implement these integration activities." In accordance with this directive, the State CIO with support from other state agencies reviewed the existing enterprise licensing with SAS Institute Inc., (SAS) and negotiated an expansion of the software license to include the Judicial Branch.

Included, at no additional charge, within this enterprise license agreement was the application development of the Wake County Criminal Justice Pilot Program. To support the development of the pilot, SAS agreed to analyze the State's business needs, identify the data sources, integrate the offender data, and build a criminal justice pilot application for Wake County.

The State project team is working together to identify the legal, regulatory and technical requirements, along with the business rules and data sources, associated with sharing and integration of criminal justice information.

The SAS project team is following an iterative design, development and test approach in the build of the CJLEADS application. The development incorporates the business requirements and rules defined by the State into a web based user interface (UI). The UI is a series of screens or reports which depict a profile of an individual's criminal justice information.

Security of offender information is imperative. Within agency applications, some information is considered public information while other information is tightly secured and cannot be shared unless the law enforcement professional accessing the information meets the required certification. The CJLEADS project team will identify and develop security policies and application components to meet the security requirements.

The internal State project team will complete initial quality assurance (QA) and test activities to confirm the accuracy of the integrated data and the implementation of the business rules. When the pilot application has met defined acceptance criteria, it will be deployed to selected Wake County users for further testing and review in normal business environments.

(D). Accomplishments

a. Quality Assurance and User Testing

The initial pilot release on May 1, 2009, encompassed Administrative Office of the Courts (AOC) case, warrant, and orders for arrest and Department of Correction (DOC) incarceration and community corrections (probation, parole and post-sentence release) information.   The project team began extensive quality assurance and user testing in May, 2009. During this period of testing the project team was able to interact with the pilot application and view "live" data from the AOC and DOC source systems. In addition to the State project team members, law enforcement officers from various organizations in Wake County were asked to test the application for ease of use and functionality.

Testing activities of the initial pilot release focused on three specific areas of the application including the integration and quality of the data, the functionality of the application, and role-based security.   As the project team members interacted with the application and reviewed the data, they provided valuable feedback that highlighted the need for refinement of both data and application functionality.

1. Data Integration and Quality

   Integration

   Access to the application with "live" production data demonstrated the complexity of merging disparate data sources and the lack of consistent data content. The project team tested the data by reviewing the matching and clustering criteria and comparing data from source systems to the data displayed in the CJLEADS application.

   Clustering is the process through which the system evaluates individual records from the different sources and determines whether or not those records represent the same individual. Records may be clustered because they match on a combination of criteria such as name, date of birth, address, or identifying numbers like driver's license or court case numbers. When records contain limited identifying information, the difficulty in merging and clustering information about an offender increases.

   Throughout the summer, the project team refined the matching algorithms and defined additional matching criteria to improve the clustering of data across the criminal justice data sources. The improved algorithms allowed for a higher level of confidence and increased ability to cluster information together to form a comprehensive view of an offender.

   The refined matching algorithms will provide the framework for incorporating and clustering future sources of data in the CJLEADS application. As each new source of data is added to CJLEADS, the clustering algorithms will be enhanced and retested.

Data Quality

Testing also highlighted quality and consistency issues with the content of the data. For example, some older, legacy data contained values and formats that were inconsistent. Data input by local agencies was found to be incomplete and in some cases did not follow standard values. Third-party interfaces that collect data from local agencies are limited in their ability to deliver current data due to issues that cause the local source systems to be offline.

The project team has worked to cleanse and improve the data where possible to provide the most accurate information to the criminal justice professional. When the ability to cleanse data is limited, or select records may be out of date due to source systems being offline, the application will alert the criminal justice professional to verify the data in the source system before acting upon the information.

2. Continuous Improvement of Application Design

The delivery of the pilot application and the display of "live" production data in CJLEADS identified the need to incorporate additional information and add functionality to the application. As a result, several of the screens were modified to better fit the business use. These modifications improved the efficiency and ease of use of the application.

The design of the user interface screens was updated to display data in a more consistent, readable format that better meets the user's needs. The AOC project team members identified improvements to the criminal history screens to provide a more accurate profile of court cases and related criminal offenses. The DOC provided additional data and re-designed related user interface screens to provide a more accurate view of periods of incarceration and community correction periods of supervision. The consistent data content and screen display will provide the foundation for the adding new application screens and functionality for the additional data sources.

A variety of new functions and tools were introduced to make the application easier to use. The application now provides users with sort and filter capability for quick access to records. This functionality helps the user find one specific record among multiple records for an offender(s). Alerts and caution flags have been incorporated in the user screens to identify data that should be validated with the source prior to decision making. This functionality supports the ability for CJLEADS to include historical or other data that may be incomplete due to older data or source systems being offline. The offender search criterion was modified to support the ability to find and return offender records that contain limited data. This modification provides more flexibility in how the user searches for an offender and ensures the ability to find offender information that may have data quality issues.

The State project team members continue to work with SAS to refine the business rules and design user interfaces to improve the usability and value of the application. During this exercise, changes are prioritized and incorporated within the project work

plan. Items identified as non-critical to the initial application implementation will be documented as future functional needs.

3. Security

Each data steward has identified their organization's specific security and confidentiality requirements associated with the data provided to CJLEADS. Based upon these requirements, the project team has tested and confirmed the following application security features:

- Limited access to the CJLEADS web-based user interface from specific Internet Protocol (IP) ranges identified by the State as valid State facilities or mobile network devices. Access to the application from public IP ranges is prohibited.

- Standard application security technical components including data transmission through secure file transfer processes, firewalls, and data encryption capabilities.

- Role-based and data element security to ensure that only criminal justice professionals with the proper authorization have been granted access to the data in the system.

These security components will be retested and confirmed as additional data sources are incorporated into the CJLEADS application.

b. Design and Development

While quality assurance and user testing activities of the initial pilot application was underway, the project team continued analysis and design of the additional sources of data to be incorporated in the pilot application. The project team has identified the additional data sources and functionality to be included in the Phase I rollout to Wake County in FY 2009 – 2010.

- Governor's Crime Commission - NC Local Jail Records

  The Governor's Crime Commission (GCC) Statewide Automated Victim Assistance and Notification Information System (SAVAN) currently collects jail data from 96 Sheriffs' county jail management systems. This information, maintained in a third-party vendor database, supports the victim notification program. The CJLEADS project team identified the local jail data and associated photo images as an important source of information for criminal justice professionals.

  The project team is working with the third-party vendor, Appriss, and local law enforcement to review the data content and quality and to define the business rules and application functionality needed to incorporate the local jail information into CJLEADS.

Initial testing of the data transmission has begun. Data quality issues and associated business rules have been identified. Currently the availability of local jail information is limited to the local agencies that are "on-line" with the third-party vendor's database. At the time of this report, nearly 25% of the local jails are off-line due to technical issues with the interface to the third-party vendor. Long-term, the collection of local jail information may require a different option.

Local jail information will be available for Quality Assurance and user testing this fall.

- State Bureau of Investigation – NC Sex Offender Registration Records

The NC Sex Offender Registration Records have been identified as valuable information to be included in the CJLEADS application. Data source definitions, business requirements and security have been provided by the SBI, and the incorporation of this information is in progress.

NC Sex Offender Registration Records will be available for Quality Assurance and user testing this fall.

- Administrative Office of the Courts – Juvenile Case Records

The AOC court case and warrant information was included in the initial pilot release and QA and user testing is nearing completion.

The AOC is now defining the business and security requirements to incorporate juvenile court case information from the Juvenile Casewise (JWISE) system, including role-based security to control who can view juvenile court data.

- Department of Transportation, Division of Motor Vehicles – DMV License, Registration and Driving Records

The Division of Motor Vehicles (DMV) currently maintains North Carolina driver's license records and vehicle registrations. The CJLEADS project team has identified this detailed data as critical information to support law enforcement officers. DMV is working with the project team to determine the most appropriate means for incorporating driver license information and photographic image, and vehicle registration information into the CJLEADS application.

- Audit and Usage Capability

The State project team began the definition of audit requirements for the CJLEADS application. The application currently logs basic information about the user, date and time of a query, and query criteria. In addition, auditing will require the ability to report and analyze system usage to ensure appropriate use of the application and criminal justice information. As

requirements are further defined, system audit capabilities will be expanded to meet more extensive auditing needs.

- Print Offender Record Capability

  The State project team has identified the need to print an offender's record. The team is in the process of developing requirements to support the report layout, security, and auditing for the printing process.

Phase II activities will encompass additional sources of criminal justice information that will be developed following the initial rollout of the pilot application to Wake County. As these data sources are developed and tested by the project team, subsequent releases of the application will provide the additional functionality to the end users.

- State Bureau of Investigation

  The NC Concealed Handgun Permit database has been identified as valuable information to be included in the CJLEADS application. Data source definitions, business requirements and security have been provided by the SBI. The incorporation of this information will be initiated in Phase II.

- Department of Correction

  The State Project team has identified the need for a Web service to load Probation Case Management information into the CJLEADS application to automate the creation of offender watch lists and alerting functionality. In addition an interface will be required to provide more "real-time" data to the CJLEADS for time sensitive information such as Escape alerts

- Administrative Office of the Courts

  The State Project team has identified the need for a Web service to provide more "real-time" data to CJLEADS for time sensitive information from the NCAWARE on-line warrant system.

- North Carolina Wildlife Resources Commission

  The NC Wildlife Resource Commission has provided information regarding wildlife licenses and vessel registrations. The Wildlife information will be analyzed and incorporated into the pilot application during Phase II design and development.

- City County Bureau of Identification

  The City County Bureau of Identification collects identifying information about any offender arrested in Wake County. The information contained in CCBI's database will provide valuable identifying data about offenders as well as improving the ability to cluster offender information in CJLEADS. CCBI

information will be analyzed and incorporated into the pilot application during Phase II design and development.

c. Production Planning

To meet the objective of a fully operational pilot within Wake County, the CJLEADS application must be migrated from its current development infrastructure to a more robust pilot technical environment. The initial pilot environment will support approximately 3,000 users with the ability to expand for statewide use of approximately 30,000 users.

The OSC was directed by Senate Bill 202 Session Law 2009-451 (Appendix C) to identify a State data center to host the CJLEADS program and report its recommendation by August 31, 2009 – Section 6.10.(3).

OSC evaluated two State production data center hosting solutions. Consideration was given to the technical infrastructure, the security requirements associated with criminal justice information, the ability to provide 24 x 7 hours of operation, and experience with Disaster Recovery and system failover capabilities.

The review of the State options for hosting highlighted the time and resources required to migrate CJLEADS to a State environment. Hardware procurement and installation, identification and training of technical resources, and migration and optimization of the CJLEADS application will take significant time. Resources needed to manage these activities will be diverted from the continuing design and development of the application, and the establishment of business operations for the CJLEADS pilot. Given these factors, along with the legislated timeframe for an operational CJLEADS pilot in Wake County, the OSC evaluated expanding the current SAS-hosted environment to support the CJLEADS pilot for rollout to Wake County.

The OSC, therefore, recommended in the Hosting Recommendation and Funding Requirement Report on September 1, 2009, that the State extend its relationship with SAS to establish a SAS-hosted pilot technical data center environment and provide CJLEADS hosting and support for the next 24 – 36 months.

Upon the completion of the pilot application design and development and the deployment of CJLEADS to an extended user population, efforts to establish the State-hosted data center would begin and the application would be migrated to the State environment.

The advantages to a SAS-hosted pilot production environment:
- Expedites the process to establish a CJLEADS pilot data center environment allowing for the delivery of an operational application to Wake County in a shorter timeframe.
- Focuses State project resources on the continued design and development of the CJLEADS application functionality.
- Allows for more accurate estimates of the State's infrastructure requirements for the CJLEADS application based on the Wake County pilot production

system performance and capacity before making capital expenditures to procure hardware
- Allows for State personnel to be identified, hired and trained in the skills and knowledge required to support the application when it is migrated to the State environment
- Completes the application design and development activities before the migration of the application to a State hosted environment
- Leverages highly skilled, experienced SAS technical resources to provide data center environment and application support

For its long-term management, the OSC recommends hosting for the CJLEADS application to be supported by the North Carolina Department of Justice (DOJ). The decision is based on DOJ/SBI experience as a law enforcement agency in the support and management of criminal justice data center operations and applications. The DOJ has experience in providing 24 x 7 support capabilities as well as experience in application support and security compliance.

The OSC is collaborating with the State Chief Information Officer to extend contractual services with SAS to establish the pilot technical environment and to support the pilot application for rollout to Wake County.

d. Project and Data Governance

The implementation of integrated data creates a paradigm shift where single focused data becomes enterprise information. Recognizing the challenges that accompany this shift and the need to develop a new model of shared governance to support the integrated delivery of criminal justice information, senior leadership from the Executive and Judicial branches of government as well as various Federal and local law enforcement agencies have agreed to serve on an Interagency Leadership Governance Council. The Interagency Leadership Governance Council will provide leadership, collaborate on the development of appropriate policies and uniform standards and implement appropriate business strategies for support of Criminal Justice enterprise information exchange.

OSC will continue to manage the design and development of the CJLEADS application as well as the development of the business operations to support the Wake County rollout until a governance council has been established and business operations, policies and procedures have been implemented.

e. Communication

OSC personnel have been actively engaged in a variety of outreach events to communicate the mission, objectives and status of the CJLEADS project with criminal justice organizations and senior leadership. Group and individual presentations have been made since July 1, 2009 to the following audiences:

- SAS Conference, July 14, 2009
- Cary Police Department, July 16, 2009

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- North Carolina Sheriffs' Association Government Resource Expo, July 28, 2009
- Colonel Randy Glover, July 29, 2009
- BEACON Steering Committee, August 14, 2009
- Representative Joe Tolson, September 16, 2009

(E). Challenges

The integration of data across disparate applications brings with it many challenges. The following issues have been identified:

a. Project Timeline

The project timeline continues to be aggressive. While significant progress has been made in gaining access to and defining business rules for the remaining sources of data, the work effort is considerable to complete the design and development of those sources of data, to establish a pilot technical environment and migrate the application to the pilot technical environment, and to plan for the Wake County rollout.

Any delays in the project work plan could negatively impact the rollout of the pilot application to Wake County. Project risk management process is being employed to assess the potential impact and develop project alternatives and mitigation approaches.

The following activities are required to prepare for the CJLEADS pilot application roll out to Wake County.

1. Extended Hosting and Design/Development

The current SAS services support design, development and hosting of the CJLEADS application in a SAS development environment through September, 2009. SAS services will be extended to continue design and development of additional data sources and application functionality.

2. Pilot Data Center

The OSC recommends extending the hosting of the pilot data center at SAS for the next 24 – 36 months. To accommodate this approach, the State project team will work with ITS to establish contractual hosting services, technical support, and continued design and development for the CJLEADS pilot application.

When the design and development of the CJLEADS application has been completed and the application has been rolled out to an extended user population, the State project team will begin the planning and procurement process to purchase, install, and configure the hardware components required to support the CJLEADS production application in the state data center environment.

At that time, new state technical positions will be identified and trained to support the CJLEADS technical architecture and to assist in the migration of the application to the State-hosted data center.

3. Application Migration

When the SAS pilot technical environment has been established, the CJLEADS pilot application will be migrated from the development environment to the pilot environment. After the migration, components of the application will be reconfigured to establish data feeds to this environment and to incorporate application security based on State security protocols and capabilities such as NCID. The application will be tested and optimized in preparation for roll out to Wake County.

SAS services will be required to support the migration and reconfiguration as well as the testing, optimization, and stabilization of the CJLEADS application in the pilot hosted environment. SAS will provide training and knowledge transfer to begin the transition of application support to state project resources.

4. Technical and Application Support Resources

The CJLEADS pilot application will require SAS Support services to install, configure and migrate the CJLEADS pilot application from the SAS development environment to the pilot technical environment, and to provide application support and enhancements capabilities.

When planning activities begin for the subsequent migration to the State-hosted environment, the State will hire technical resources to collaborate with the SAS contracted resources in the State data center installation and application migration activities. State technical resources will complete SAS training and will gain knowledge and expertise of the SAS toolsets and CJLEADS application through knowledge transfer activities with the SAS resources.

5. Business Operations/Training Support

The CJLEADS pilot application will require business operations resources to provide business and application analysis, manage user administration and security for the application, provide Help Desk support, develop and offer end-user training, and perform system audit oversight.

The State must hire business operations resources to meet the business operations and support needs.

6. Wake County Rollout

The Wake County rollout of the CJLEADS pilot application will follow a phased implementation approach.

The initial phase of the CJLEADS pilot will contain data and functionality that has been designed, developed and fully tested in both Quality Assurance and user

testing activities. After the initial release of the pilot application, the project team will periodically deploy new releases of the application as additional data and system functionality are validated.

Plans will be developed to establish a schedule for rollout to various user populations in Wake County. The rollout will begin with a select set of Wake County users and will expand incrementally to the full Wake County user population. The incremental rollout schedule will consider:

- Resources and scheduling of required end-user training
- Resources to support user administration
- Resources to support Help Desk services
- System performance and feedback from initial user groups

7. Statewide Roll Out Planning

Senate Bill 202 Session Law 2009-451 directs the OSC to achieve and demonstrate full operational capability of the pilot program in Wake County before the system is expanded to other areas of the State. It further directs the OSC to develop a detailed plan for statewide expansion for the CJLEADS application.

Based on the requirements of the legislation, by January 31, 2010, the OSC will provide:
- A statewide implementation schedule
- Requirements of individual users to participate in this program
- Detailed cost information for the development and implementation of a statewide system, including any user costs
- Other issues associated with the implementation of the system

b. Funding Availability

Given the current economic conditions, funding for the pilot application development, statewide rollout and on-going operations and maintenance represents a significant financial challenge. Data integration and criminal justice funding, along with additional funds from the BEACON program will enable the project team to continue with the completion of the pilot application, migration to a pilot technical environment and rollout to Wake County.

Additional sources of funds will be required to sustain the operations and maintenance of CJLEADS beyond the rollout to Wake County and to continue efforts to expand the application statewide.

The following chart provides high level cost estimates for the production implementation of the CJLEADS Wake County Pilot application.

FY 2009 - 2010

		Estimated Cost	3 Year Cost
SAS Hosted Solution			
State Business and Technical Personnel Resources		$1,965,000	$7,545,000
Development/Hosting/Software		$7,163,813	$19,804,497
	Total	**$9,128,813**	**$27,349,497**

Senate Bill 202 Session Law 2009-451 directs the OSC to give priority for data integration funding and system development and implementation to the CJLEADS pilot program. The funds available for the implementation of the CJLEADS pilot program include all remaining uncommitted BEACON Data Integration funds, all remaining Criminal Justice Data Integration Pilot Program funds, and BEACON funds.

The following chart provides a summary of funding available to support the production implementation of the CJLEADS Wake County Pilot application.

FY 2008 - 2009

As of June 30, 2009

	Appropriated	Committed/ Expended	Balance Available for the Criminal Justice Pilot Implementation
BEACON Data Integration Funds			
Balance remaining as of June 30, 2009	$4,710,109		
OSP NC WORKS II Project		$300,000	
OSBM NC Open Book Project		$874,354	
State Project Team Expenditures		$99,901	
Executive Branch ELA Renewal		$2,500,000	
Total	**$4,710,109**	**$3,774,255**	**$935,854**
Criminal Justice Data Integration Funds			
Balance remaining as of June 30, 2009	$2,914,409		
State Project Team Expenditures		$273,660	
Total	**$2,914,409**	**$273,660**	**$2,640,749**
BEACON Funds			
BEACON Funds Available	$7,390,000		
Total	**$7,390,000**	**$0**	**$7,390,000**
Total Funds Available			**$10,966,603**

c. Data Accessibility

While each agency has identified its data sources, many specifics must be defined to ensure successful integration.

   i.   Unique Offender Identifiers/Data Quality

The State project team continues to refine the matching algorithms associated with integrating the data from various source systems.   As each source system identifies information about an offender through a different set of unique data elements, comprehensive testing and validation is required to ensure that the application accurately represents an offender's information in the integration environment.

With "live" production data displayed in the CJLEADS application, the inconsistencies of the data become apparent. Data entered into source applications is often limited or incomplete. The lack of valuable data identifiers such as date of birth, social security number, and driver's license number limits the system's ability to match and integrate data. As a result, data for a particular offender may display in separate records rather than being clustered together for the end user's review.

Consistent data formats and standards for data input into source systems would enhance the ability to integrate and share criminal justice data in the CJLEADS application. This issue will be considered by the Interagency Leadership Council as it adopts uniform standards and implements appropriate business strategies to support Criminal Justice enterprise information exchange.

   ii.   Data Security/Auditing

Security requirements for the State data included in CJLEADS have been defined and are being implemented within the application. Federal and other states' data require additional security measures.

CJIS Security Policy guidelines govern access to and dissemination of Federal and other states' information available through the DCI network. The integration and deployment of this information under a new framework requires a revision of business processes, training and security roles. Policies and procedures have been established to ensure CJLEADS adherence to the required components of the CJIS Security Policy for the use of Federal identifiers (FBI Number). The SBI will work with the SAS development team to identify and implement additional CJIS Security Policy requirements for incorporation of DCI data in the CJLEADS application.

The State project team is defining the business requirements associated with auditing the system including logging of authorized users' access of the system, logs of the inquiries made through the system, and ability to analyze usage patterns to identify possible inappropriate use of the system. Audit requirements

will be refined to meet the needs of each data source as it is incorporated into the CJLEADS application.

    iii.   Architectural Design

The NC State Bureau of Investigation (SBI) maintains the DCI network which provides critical information from other states' and National databases. The DCI network architecture is based on a message switch that results in interactive communication between the criminal justice professional and the network.

The DCI network accepts a query from the user and replies with a series of message responses. Based on those responses, the user initiates additional queries for further information. The integration of the DCI network will be analyzed after the integration of NC state criminal information has been implemented in the CJLEADS application.

d. Juvenile Justice Information Sharing

Juvenile justice information is tightly secured. The integration of any juvenile information must comply with all State and Federal guidelines.

JWISE juvenile information, existing within an AOC application, will be integrated into the pilot application. Access to this data will be controlled with role-based security defined by the AOC. The juvenile justice data that resides within the DJJDP application will not be integrated into the pilot as the use of this data requires additional analysis and possible legislation.

(G). Next Steps

The following activities will be undertaken during the fourth quarter of 2009:

1. SAS professional services will be extended to continue the design and development activities of the pilot application and to support the pilot technical environment. The State project team will continue defining business requirements for additional sources of data. Comprehensive testing activities will be on-going to confirm that the pilot application meets the defined quality assurance criteria. Activities for this quarter include:

    a. Finalize AOC court and warrant data and functionality
    b. Finalize DOC incarceration and community corrections data and functionality
    c. Continue design and development of local jail information
    d. Continue design and development of AOC juvenile court records
    e. Continue design and development of NC Sex Offender Registry
    f. Begin design and development of NC DMV Driver's License and Vehicle Registration
    g. Begin design and development of CJLEADS auditing requirements

2. State project team members and selected criminal justice professionals will be engaged to participate in the user acceptance testing to evaluate the pilot application for ease of use and understanding by application end users, confirm business requirements and validate data and application security.

3. State project team members will begin planning for business operations including training, user administration, Help Desk support, and auditing.

4. The SAS project team will begin planning and procurement activities to establish the technical infrastructure to host the CJLEADS pilot application. The State project team will work closely with SAS technical resources to ensure the pilot hosted environment meets State standards as required.

5. The Interagency Leadership Council will provide guidance and support for the CJLEADS pilot application during the User Acceptance Testing period. The council will address future governance structure and procedures to support the migration and operations and maintenance of CJLEADS in a production environment.

6. The State project team will document areas for continuous improvement and future enhancements for the CJLEADS application.

Appendix A: SESSION LAW 2007-323, HOUSE BILL 1473

AN ACT TO MAKE BASE BUDGET APPROPRIATIONS FOR CURRENT OPERATIONS OF STATE DEPARTMENTS, INSTITUTIONS, AND AGENCIES, AND FOR OTHER PURPOSES.

BEACON DATA INTEGRATION

SECTION 6.8.(a) The Office of the State Controller, in cooperation with the State Chief Information Officer, shall develop a Strategic Implementation Plan for the integration of databases and the sharing of information among State agencies and programs. This plan shall be developed and implemented under the governance of the BEACON Project Steering Committee and in conjunction with leadership in State agencies and with the support and cooperation of the Office of State Budget and Management. This plan shall include the following:

    (1)   Definition of requirements for achieving statewide data integration.

    (2)   An implementation schedule to be reviewed and adjusted by the General Assembly annually based on funding availability.

    (3)   Priorities for database integration, commencing with the integration of databases that the BEACON Project Steering Committee identifies as most beneficial in terms of maximizing fund availability and realizing early benefits.

    (4)   Identification of current statewide and agency data integration efforts and a long-term strategy for integrating those projects into this effort.

    (5)   Detailed cost information for development and implementation, as well as five years of operations and maintenance costs.

While it is the intent that this initiative provide broad access to information across State government, the plan shall comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal and State law shall be limited to appropriate and authorized persons.

SECTION 6.8.(b) The State Controller shall serve as Chairman of the BEACON Project Steering Committee (Committee). The other members of the Committee shall include the State Chief Information Officer, the State Personnel Director, the Deputy State Budget Director, and the Department of Transportation's Chief Financial Officer.

SECTION 6.8.(c) Of the funds appropriated from the General Fund to the North Carolina Information Technology Fund, the sum of five million dollars ($5,000,000) for the 2007-2008 fiscal year shall be used for BEACON data integration as provided by subsection (a) of this section. The Office of the State Controller, in coordination with State agencies and with the support of the Office of State Budget and Management, shall identify and make all efforts to secure any federal matching funds or other resources to assist in funding this initiative.

Funds authorized in this section may be used for the following purposes:

    (1)   To support the cost of a project manager to conduct the activities outlined herein reportable to the Office of the State Controller.

    (2)   To support two business analysts to provide support to the program manager and agencies in identifying requirements under this program.

    (3)   To engage a vendor to develop the Strategic Implementation Plan as required herein.

    (4)   To conduct integration activities as approved by the BEACON Project Steering Committee. The State Chief Information Officer shall utilize current enterprise licensing to implement these integration activities.

SECTION 6.8.(d) The Office of the State Controller, with the assistance of the State Chief Information Officer, shall present the Strategic Implementation Plan outlined by this section to the 2007 Regular Session of the General Assembly when it convenes in 2008 for action as deemed appropriate. This plan shall be completed not later than April 30, 2008.

Prior to the reconvening of the 2007 Regular Session of the General Assembly in 2008, the Office of the State Controller shall provide semiannual reports to the Joint Legislative Oversight Committee for Information Technology. Written reports shall be submitted not later than October 1, 2007, and April 1, 2008, with presentations of the reports at the first session of the Joint Legislative Oversight Committee on Information Technology following the written report submission date. The Joint Legislative Oversight Committee on Information Technology shall then report to the Joint Legislative Commission on Governmental Operations.

SECTION 6.8.(e) Neither the development of the Strategic Information Plan nor the provisions of this section shall place any new or additional requirements upon The University of North Carolina or the North Carolina Community College System.

Ratified July 31, 2007

Appendix B: SESSION LAW 2008-107, HOUSE BILL 2436

AN ACT TO MODIFY THE CURRENT OPERATIONS AND CAPITAL APPROPRIATIONS ACT OF 2007, TO AUTHORIZE INDEBTEDNESS FOR CAPITAL PROJECTS, AND TO MAKE VARIOUS TAX LAW AND FEE CHANGES.

CRIMINAL JUSTICE DATA INTEGRATION PILOT PROGRAM

SECTION 6.15.(a) The General Assembly finds that the State's Uniform Crime Reporting technology is based on procedures developed in the 1930s and a design plan developed in the late 1980s. Based on recent unfortunate events, it is abundantly clear that the State must establish a framework for sharing critical information, and the framework must be implemented as soon as possible. With improved access to timely, complete, and accurate information, the members of the General Assembly, leadership in State and local law enforcement agencies, law enforcement officers, and everyone working in the criminal justice system can enhance their ability to make decisions on behalf of the people of the State, with fewer decisions based on instinct or guesswork.

The General Assembly further finds that the April 2008 Beacon Report on a Strategic Plan for Data Integration recommends the development and implementation of a Crime Reporting Re-Design Project, a statewide crime analysis system designed to save time, save money, and save lives.

SECTION 6.15.(b) The Office of the State Controller, in cooperation with the State Chief Information Officer, and under the governance of the BEACON Project Steering Committee, shall by May 1, 2009, develop and implement a Criminal Justice Data Integration Pilot Program in Wake County in cooperation and communication with the advisory committee established pursuant to subsection (c) of this section and the leadership of State and local agencies. This pilot program shall integrate and provide up-to-date criminal information in a centralized location via a secure connection for use by State and local government. The pilot program vendor shall be selected by October 1, 2008.

While it is the intent that this initiative provide a broad new access to information across State government, the plan shall comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal and State law shall be limited to authorized persons.

SECTION 6.15.(c) The Advisory Committee to the Criminal Justice Data Integration Pilot program is hereby established. The Advisory Committee shall consist of the following members:

(1)   The District Attorney for Prosecutorial District 10, who shall serve as chair.
(2)   The senior resident superior court judge for Superior Court Districts 10A through 10D.
(3)   A Wake County magistrate designated by the senior resident superior court judge.
(4)   The Clerk of Superior Court of Wake County.
(5)   The sheriff of Wake County.
(6)   The judicial district manager for District 10 of the Division of Community Corrections.
(7)   The chief court counselor for District Court District 10.
(8)   The president of Duke University and the chancellor of The University of North Carolina, or their designees.

SECTION 6.15.(d) The Advisory Committee, the Department of Justice, the Administrative Office of the Courts, the Department of Juvenile Justice and Delinquency Prevention, the Department of Correction, the Department of Crime Control and Public Safety, the Department of Transportation, and local law enforcement agencies shall fully cooperate with the Office of the State Controller and the State Chief Information Officer, under the guidance of the BEACON Steering Committee, to identify the informational needs, develop a plan of action, provide access to data, and implement secure integrated applications for information sharing of criminal justice and corrections data.

SECTION 6.15.(e) Of the funds appropriated in this act, the sum of five million dollars ($5,000,000) may be used to support the Criminal Justice Data Integration Pilot Program. Other funds available to BEACON may also be used for this purpose.

The Office of the State Controller, with the support of the Office of State Budget and Management, shall identify and make all efforts to secure any matching funds or other resources to assist in funding this initiative.

SECTION 6.15.(f) The Office of the State Controller, with the support of the Advisory Committee and the State Chief Information Officer, shall provide a written report of the plan's implementation progress to the House of Representatives and Senate Appropriations Committees, to the Joint Legislative Oversight Committee on Information Technology, and to the Fiscal Research Division on a quarterly basis beginning October 1, 2008.

BEACON DATA INTEGRATION
SECTION 6.16.(a) The Office of the State Controller, in cooperation with the State Chief Information Officer, shall begin implementation of the Beacon Strategic Plan for Data Integration, issued in April 2008. This plan shall be implemented under the governance of the BEACON Project Steering Committee and in conjunction with leadership in appropriate State agencies and with the support and cooperation of the Office of State Budget and Management.

While it is the intent that this initiative provide broad access to information across State government, the plan shall comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal and State law shall be limited to appropriate and authorized persons.

SECTION 6.16.(b) The State Controller shall serve as the Chairman of the BEACON Project Steering Committee. The other members of the committee shall be the State Chief Information Officer, the State Treasurer, the Attorney General, the Secretary of Correction, the Administrative Officer of the Courts, the State Budget Officer, and the Chief Financial Officer of the Department of Transportation.

SECTION 6.16.(c) Of the funds appropriated from the General Fund to the North Carolina Information Technology Fund, the sum of five million dollars ($5,000,000) for the 2008-2009 fiscal year shall be used for BEACON data integration as provided by subsection (a) of this section. Funds to support this activity shall also be the unexpended balance from the funds appropriated for BEACON/Data Integration Funds in Section 5.3(b) of S.L. 2007-323. The Office of the State Controller, with the support of the Office of State Budget and Management, shall identify and make all efforts to secure any matching funds or other resources to assist in funding this initiative.

SECTION 6.16.(d) Funds authorized in this section may be used for the following purposes:

(1)   To support the cost of a project manager to conduct the activities outlined herein reportable to the Office of the State Controller.
(2)   To support two business analysts to provide support to the program manager and agencies in identifying requirements under this program.

       (3)   To establish a Business Intelligence Competency Center (BICC), a collaborative organization comprised of both technical and business stakeholders, to support and manage the business need for analytics through the development of standards and best practices.

       (4)   To engage a vendor to implement the Strategic Implementation Plan as required herein.

       (5)   To conduct integration activities as approved by the BEACON Project Steering Committee. The State Chief Information Officer shall use current enterprise licensing to implement these integration activities.

SECTION 6.16.(e) Prior to the convening of the 2009 General Assembly, the Office of the State Controller shall provide semiannual reports to the Joint Legislative Oversight Committee for Information Technology. Written reports shall be submitted not later than October 1, 2008, and April 1, 2009, with presentations of the reports at the first session of the Joint Legislative Oversight Committee on Information Technology following the written report submission date. The Joint Legislative Oversight Committee on Information Technology shall then report to the Joint Legislative Commission on Governmental Operations.

SECTION 6.16.(f) Neither the implementation of the Strategic Information Plan nor the provisions of this section shall place any new or additional requirements upon The University of North Carolina or the North Carolina Community College System.

Ratified July 16, 2008

SESSION LAW 2008-118, HOUSE BILL 2438

AN ACT TO MAKE TECHNICAL, CLARIFYING, AND OTHER MODIFICATIONS TO THE STATE BUDGET.

SECTION 2.3. Section 6.16(b) of S.L. 2008-107 reads as rewritten:

"**SECTION 6.16.(b)** The State Controller shall serve as the Chairman of the BEACON Project Steering Committee. The other members of the committee shall be the State Chief Information Officer, the State Treasurer, the Attorney General, the Secretary of Correction, the Administrative Officer of the Courts, the State Budget Officer, the Secretary of Administration, and the Chief Financial Officer of the Department of Transportation."

Ratified July 18, 2008

Appendix C: SESSION LAW 2009-451, Senate Bill 202

AN ACT TO MAKE BASE BUDGET APPROPRIATIONS FOR CURRENT OPERATIONS OF STATE DEPARTMENTS, INSTITUTIONS, AND AGENCIES, AND FOR OTHER PURPOSES.

BEACON DATA INTEGRATION

SECTION 6.9.(a) The Office of the State Controller, in cooperation with the State Chief Information Officer, shall continue the implementation of the BEACON Strategic Plan for Data Integration, issued in April 2008. The plan shall be implemented under the governance of the BEACON Project Steering Committee and in conjunction with leadership in appropriate State agencies and with the support and cooperation of the Office of State Budget and Management.

While it is the intent that this initiative provide broad access to information across State government, the plan shall comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal or State law shall be limited to appropriate and authorized persons.

SECTION 6.9.(b) The Office of State Controller shall give the Criminal Justice Data Integration Pilot Program first priority for funding and for system development and implementation.

The Office of State Controller shall determine the amount of funding required to (i) fully support the Criminal Justice Data Integration Pilot Program effort and (ii) develop full operational capability in Wake County during the 2009-2010 fiscal year. The Office of State Controller shall not otherwise obligate these funds.

SECTION 6.9.(c) By September 1, 2009, the Office of State Controller shall report to the Joint Legislative Oversight Committee on Information Technology and to the Fiscal Research Division on (i) funding requirements and sources of funds for the Criminal Justice Data Integration Pilot Program for the 2009-2010 fiscal year and (ii) the anticipated uses of any remaining funds for the BEACON Data Integration Program. The Office of State Controller shall spend funds to support the BEACON Data Integration Program only as is specifically authorized in Section 6.16(d) of S.L. 2008-107.

By October 1, 2009, the Office of State Controller, in coordination with the State Chief Information Officer, shall also report on future costs for implementing the BEACON Data Integration Program, including outside vendor costs. This report shall include a detailed explanation of potential costs and the efforts participating agencies are making to reduce these costs. This report shall be presented to the Joint Legislative Oversight Committee on Information Technology and written reports shall be provided to the House of Representatives and Senate Appropriations Committees and to the Fiscal Research Division.

CRIMINAL JUSTICE DATA INTEGRATION PILOT PROGRAM

SECTION 6.10.(a) The Office of the State Controller, in cooperation with the State Chief Information Officer and under the governance of the BEACON Project Steering Committee, shall continue the development of the Criminal Justice Data Integration Pilot Program in Wake County as specified in Section 6.15 of S.L. 2008-107. The Office of State Controller shall achieve and demonstrate full operational capability of the pilot program in Wake County before the system is expanded to other areas of the State.

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SECTION 6.10.(b) The Criminal Justice Data Integration Pilot Program shall continue to comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal and State law shall be limited to authorized persons.

SECTION 6.10.(c) The Office of State Controller shall develop a detailed plan for the statewide expansion of the Criminal Justice Data Integration Pilot Program. This plan shall include the following:

(1)   An implementation schedule;

(2)   The requirements individual users must meet to participate in the program;

(3)   Detailed cost information for the development and implementation of a statewide system, including any user costs;

(4)   A governance structure for management and oversight of the system; and

(5)   Any other issues associated with the implementation of the system.

The Office of State Controller shall submit this plan to the House of Representatives and Senate Appropriations Committees, the Joint Legislative Oversight Committee on Information Technology, and the Fiscal Research Division by January 31, 2010.

SECTION 6.10.(d) The Office of State Controller shall work with the data integration software vendor to ensure that licenses are obtained at the least possible cost.

SECTION 6.10.(e) A State agency data center shall host the Criminal Justice Data Integration Pilot Program. The Office of State Controller shall identify a State data center to host the program and shall report its recommendation to the Joint Legislative Oversight Committee on Information Technology by August 31, 2009.

SECTION 6.10.(f) Funds appropriated for the Criminal Justice Data Integration Pilot Program shall only be used for that program. The Criminal Justice Data Integration Pilot Program shall have first priority for funds available to the BEACON Data Integration Program.

SECTION 6.10.(g) The Office of State Controller shall continue to provide quarterly written reports on the program's progress to the House of Representatives and Senate Appropriations Committees, to the Joint Legislative Oversight Committee on Information Technology, and to the Fiscal Research Division beginning October 1, 2009.

Appendix D: Criminal Justice Pilot Program Committee Membership

BEACON Program Data Integration Steering Committee

Agency	Representatives
Office of the State Controller	David McCoy, State Controller – Committee Chair
Office of Information Technology Services	George Bakolia, Senior Deputy Chief CIO
Department of Correction	Alvin Keller, Secretary of Correction
Department of Administration	Britt Cobb, Secretary of Administration
Department of Transportation	Mark Foster, Chief Financial Officer
Department of the State Treasurer	Janet Cowell, State Treasurer
North Carolina Department of Justice	Robin Pendergraft, Director, State Bureau of Investigation
Office of State Budget and Management	Charlie Perusse, State Budget Director
Administrative Office of the Courts	Judge John Smith, Director, Administrative Office of the Courts

Advisory Committee

Representatives
Colon Willoughby, Wake County District Attorney - Committee Chair
Maggie Brewer, 10th Judicial District Manager, Division of Community Corrections
Howard Cummings, Wake County Assistant District Attorney
Lorrin Freeman, Clerk of Superior Court, Wake County
Barker French, appointee representing President of Duke University
Sheriff Donnie Harrison, Wake County Sheriff's Office
Diane Isaacs, Acting 10th Judicial District Manager, Division of Community Corrections
Tim Montgomery, Chief Juvenile Court Counselor, 10th Judicial District
Judge Robert Rader, Chief District Court Judge, 10th Judicial District
Judge Donald Stephens, Senior Resident Superior Court Judge, 10th Judicial District
Magistrate Judge Gary Wills, Chief Magistrate Judge, 10th Judicial District
Chris Creech, Information Technology Manager for the Wake County, Sheriff's Office
Professor Joe Kennedy, University of North Carolina

Collaborative Agencies

Representation
Department of Justice
Administrative Office of the Courts
Department of Juvenile Justice and Delinquency Prevention
Department of Correction
Department of Crime Control and Public Safety
Department of Transportation
Local Law Enforcement Agencies

Working Project Team

Representation
George Ake, NIJ Representative
Debbie Allen, GCC, NC SAVAN Coordinator
Ike Avery, OSC, Subject Matter Expert
Doug Banich, ITS
Roger Banner, AOC, Applications Analyst Programmer
Jennifer Barbour, AOC, NCAWARE/Magistrate - Systems Analyst
Jordan Beltz, AOC, Applications Analyst Programmer Specialist
Ronnie Blake, DOJ, IT Project Director
Maggie Brewer, DOC, 10th Judicial District Manager
Bob Brinson, DOC, Chief Information Officer
Richard H. Brown, Wake County Courts
Leah Bryant, AOC, Administrator for Application Development
Carol Burroughs, OSC, Project Manager – Criminal Justice Pilot Program
Paul Cash, AOC Application Analyst
Jessica Chen, AOC, Data Base Administrator
Fletcher Clay, OSC, Subject Matter Expert
Cindy Cousins, DOC, Application Systems Manager
Chris Creech, Wake County Sheriff's Office, Information Technology Manager for Wake County
Brenda Freeman, DOT – DMV, Adjudication & Support Services, Asst. Director of Adjudication
Audrea Dale, AOC
Bob Drichel, AOC, Tech Support Operations Manager
Ann Ennis, DOJ
Claire Ennis, OSC
LaVonda Fowler, CJIN, Subject Matter Expert Criminal Justice Information Network
Tom Frantz, AOC
Lorrin Freeman, Wake County Courts, Clerk of Superior Court
Barker French, Appointee Representing Duke University
Sam Ghosh, AOC, Applications Analyst Programmer
Bob Giannuzzi, EPMO, Project Management Advisor (PMA)

Janet Greene, AOC, Asst. Administrator for Application Development

Working Project Team (continued)

Shannon Hanes, DJJDP, Business Analyst
Tom Havener, AOC, Database Administrator
Rena Henry , DOT – IT, State Automated Driver's License System, Development Supervisor, DOT-IT
Sherry House, DOC
Bill Hudson, AOC, Application Analyst
Diane Isaacs, DOC, Acting 10th Judicial District Manager
David Jones, DJJDP
Gary Kearney, DJJDP, Chief Information Officer
Ethel Keen, DOT-DMV, Assistant Director Traffic Records Branch
David Keys, DOC, IT Director
Nancy Kiesenhofer, AOC, Systems Analyst
Stephen Lamm, DOT – DMV, Inspector/Fraud Special Operations
Mark Lang, DOJ, Security Manager
Joseph Patrick Latour, Wake County Courts
Cliff Layman, AOC, Chief Information Officer
Nancy Lowe, DOJ – IT, Chief Information Officer
Basil McVey, AOC, Court Services Officer
Chris McKee, DOC
Kay Meyer, OSC, Project Director BEACON Data Integration
Suanne Middleton, Buncombe County Courts
Tom Newsome, OSC, Chief Deputy Controller
Lorri Olszanowski, DOC, Database Administrator
Jerry Page, AOC, ACIS Programmer
Troy Page, AOC, Assistant Legal Counsel
Abraham Palmer, AOC, Application Analyst
Randy Barnes, DOT, Chief Information Officer
Kathy Pavel, DOJ
Wyatt Pettingill, DOJ-SBI, Assistant Special Agent in Charge
Tim Pursell, Information Technology Services
David Prince, DOJ, IT Project Director
Rebecca Saleeby, AOC
Lucyna Schroeder, AOC, Application Analyst
Michael Singletary, DOC, Chief Information Officer
Archie Smith, AOC, Security, DASD Administrator
Kandimalla Srinivasarao, DOT-IT
Gregg Stahl, AOC, Deputy Director
Kiran Talasila, ITS
Jimmy Tew, DOJ, Systems Programmer
Wanda Thomas, AOC, TSD- Application Development Manager
Carla Thorpe, DOT – IT, State Automated Driver's License System, Application Development Manager,

George Tkach, DJJDP, Database Administrator

Representation
Working Project Team (continued)

Gene Vardaman, CJIN, Executive Director
James Walston, DOT
Barbara Webb, DOT – DMV, Adjudication & Support Services, Manager - Technical Services Branch
Albert Williams, Buncombe County Courts
Cynthia M. Williams, DOC – DCC, Chief of Support Services
Frank Blair Williams, Wake County Courts
Lik Yam, AOC, Application Analyst

Appendix E: Criminal Justice Advisory Committee Report – September 24, 2008

Criminal Justice Data Integration Project
Initial Report of the Advisory Committee

Section 16.5 of S.L. 2008-107 established the Criminal Justice Data Integration Pilot Program for the purpose of delivering timely, complete and accurate information to law enforcement and those working within the criminal justice system in order to improve their ability to make decisions that impact public safety. Pursuant to this legislation, an advisory committee was established for the purpose of identifying the informational needs of criminal justice professionals.

The Advisory Committee of the Criminal Justice Data Integration Pilot program consists of the Wake County District Attorney, the Senior Resident Superior Court Judge for the 10th Judicial District, the Chief District Court Judge for the 10th Judicial District, the Wake County Clerk of Superior Court, a Wake County magistrate, the Wake County Sheriff, the 10th Judicial District Manager for the Department of Community Corrections, the 10th Judicial District Chief Court Counselor and the designees of the President of Duke and the Chancellor of the University of North Carolina at Chapel Hill. The Advisory Committee members, in consultation with other individuals working within the criminal justice system, have conducted a preliminary evaluation of their informational needs and submit the following report.

Executive Summary

Through an analysis of information needs by each agency within the criminal justice system, the Advisory Committee found that all participating agencies would benefit from access to the following information:

- Positive Offender ID
- Comprehensive, easy to read Criminal History
- Outstanding warrants and orders for arrest
- Probation status
- Juvenile offense history
- Domestic Violence Protective Order status
- Sex offender status
- Immigration status

There was additional information that one or more of the entities would find useful in making decisions. This is outlined in Appendix A of this report.

Advisory Committee members determined that access to information through two different methods was necessary. Criminal Justice professionals need access to

information by looking up individual offenders (Offender Search). Criminal justice professionals who are responsible for a caseload need automatic notification when the status of an offender on their caseload changes (Offender Watch).

For the purpose of this report, criminal justice professional shall include criminal justice and correction professionals.

Introduction

Professionals within the criminal justice system make decisions daily that impact public safety. These decisions include, but are not limited to, whether to charge and/or arrest an offender, whether to release an offender on bail, how to prosecute a case, and what sentence to impose. In order to successfully manage the high volume of cases within the system, criminal justice professionals often have to make decisions quickly relying on readily available information. The purpose of this project is to increase access to reliable information about offenders. The project can meet this goal by both making existing information easier to utilize and by broadening the scope of information available to each criminal justice professional.

The type of information needed varies based on the responsibilities of individual entities within the criminal justice system. After receiving input from each entity, the Advisory Committee has analyzed the identified information deficiencies and determined common needs. Because there is significant overlap in information that is required to make informed decisions, the Committee recommends that the project initially focus on providing that information which is set forth below. The Committee further recommends that the project be developed and implemented in a manner that permits future expansion and customization.

The Advisory Committee's recommendation would make criminal justice information available in two different components: Offender Search, access to information by offender, and Offender Watch, notification of change in offender status for criminal justice professionals carrying a caseload.

Offender Search: Advisory Committee members identified a need to be able to easily access specific information about an offender in order to make informed decisions. Members suggested that this information be provided in summary form on an easy to read screen that would allow the criminal justice professional to access more detailed information by clicking on various field alternatives.

- **Positive ID**

    o **Problem Identified**: Law Enforcement, prosecutors and judges all indicated that it is vitally important to be able to confirm that the person in their presence is in fact the person of interest. It is also necessary to be able to determine whether additional pending cases with the defendant's name belong to the defendant. Identifying defendants based on their name has become increasingly problematic as the number of immigrants and the use of aliases has increased. Currently there is no unique identifier that is constant in all criminal justice databases.

    o **Information Delivery Proposal**: A picture of the offender derived from DMV, jail or Department of Correction records and an indicator of positive ID based on matching available identifiers across databases should be part of the offender search screen. Pending cases and/or warrants should appear on the summary screen and could be categorized as positive, reliable or possible matches with the offender.

- **Complete, Easy to Read Criminal History**

    o **Problem Identified**: All members indicated a need for comprehensive criminal history information on an offender that was easy to read and understand. Each member expressed some level of dissatisfaction with the current court system database as a means to gather this information. Currently criminal justice professionals have to search multiple sources (ACIS state and local, and DCI) to gather criminal history information. The information is formatted in a manner that is difficult to understand.

    o **Use of Information**: The extent and seriousness of an offender's prior record sheds light on the threat the offender poses to public safety and the likelihood of the offender to recidivate. A defendant's prior record is considered in setting conditions of release, in determining what, if any, plea offer to negotiate, and in determining a defendant's sentence.

    o **Information Delivery Proposal**: The District Attorney's office requested automatic calculation of an offender's prior record level. To address this requirement, an offender's prior record level could appear on the offender search screen while a more detailed criminal record could be accessed by

clicking on the Prior Record Level. It was suggested that criminal history information be made available to be reviewed in either chronological order or by offense category (i.e., motor vehicle offense, offense involving weapon, property offense, drug offense). In addition to past convictions, information concerning cases for which a defendant has been called and failed or cases that are in dismissal with voluntary leave status should also be made available.

- **Outstanding Warrants and Orders for Arrest**

  - **Problem Identified**: Law Enforcement Officers (LEO) do not have easy access to a database in which all outstanding warrants and/or orders for arrest are entered. Consequently they may inadvertently let an offender go who should be apprehended. Additionally, magistrates do not have easy access to outstanding orders for arrest/warrants that could be served on a defendant who has been brought before them. As a result, defendants who have active warrants or orders for arrest in other cases are released from custody.

  - **Use of Information**: Reliable, current information on existing warrants and orders for arrest would allow for offenders to be more readily apprehended. If outstanding warrants and pending orders for arrest could be readily identified and obtained, they could be served on the defendant which would allow for unresolved cases to be disposed of in a more efficient manner.

  - **Information Delivery Proposal**: An offender search screen could indicate the existence of outstanding warrants and pending orders for arrest. It is recommended that the offender search screen be developed to interface with the Administrative Office of the Court's technology application NCAWARE, which is currently being piloted in Johnston County, which, when fully operational, will provide an electronic repository containing all outstanding warrants and pending orders for arrest and will allow for a stored document to be printed for service on an offender.

- **Probation Status**

  - **Problem Identified**: Criminal justice professionals who are not in the corrections field do not have a means to easily determine if an offender is on probation or to assess an offender's performance while under supervision in the community. Without access to probation information, Law Enforcement Officers may come in contact with a person of interest who has absconded from probation without knowing the person's status; prosecutors may recommend a probationary status for an offender who has not been compliant while on probation; or, judges may sentence an

offender to a supervision level that has been ineffective in managing a defendant.

- o **Use of Information:** Information about an offender's performance on probation provides insight into whether community supervision is an effective way to manage the offender. Prosecutors would consider a defendant's performance on probation in determining what type of plea to negotiate, if any. Judges would rely on information about a defendant's past performance on probation in determining what sentence to impose in a case.

- o **Information Delivery Proposal**: Probation status could be indicated as active, inactive or N/A on the offender search screen. Additional probation information such as level of supervision (unsupervised, supervised, intensive), number and basis of probation violations, past and/or current compliance with supervision, identity of supervising officer, the county where the defendant is being supervised and frequency of contacts with probation officer could be available through a link off the offender search page.

- **Juvenile offense history**

  - o **Problem Identified:** Access to juvenile offense history is limited and cumbersome despite the fact that N.C.G.S. 7B-3000 (e) allows the existence of an adjudication of a felony offense to be considered by law enforcement, magistrates and prosecutors in making decisions about pretrial release and plea negotiations. Too often a defendant has an extensive record as a juvenile but is treated as a first offender when charged as an adult at age 16 or above. Despite the fact that the defendant may have been on probation as a juvenile or was sentenced to a juvenile detention facility, the prosecutor and the judge are typically unaware of a defendant's involvement with juvenile court. Currently the Division of Juvenile Justice and Delinquency Prevention operates a web-based information system that includes detailed juvenile case information in the court system but none of the criminal justice system agencies at the adult level may access this data.

  - o **Use of Information:** The existence of an extensive or serious juvenile record provides insight into the threat the offender poses for the community and the likelihood the offender will recidivate. Access to this information could impact the prosecutor's decision to negotiate a plea in a case and a judge's sentencing decisions.

  - o **Information Delivery Proposal:** Current law may restrict easy access to some juvenile information. If the law permitted, the existence of a juvenile record could be indicated on the summary screen with a more detailed

report of juvenile court involvement available by accessing a link to information.

- **Domestic Violence Protective Order Status**

  - **Problem Identified:** The existence of a domestic violence protective order is not always known by magistrates, prosecutors, and judges who are dealing with a domestic violence offender. Because the process for obtaining a domestic violence protective order is civil, criminal justice professionals must access civil court records to determine if a domestic violence protective order exists. A registry of domestic violence protective orders is maintained by the Sheriff but that information is not readily available to magistrates, prosecutors and judges.

  - **Use of Information**: Magistrates and judges consider the existence of a domestic violence protective order in making decisions about conditions of pretrial release. Prosecutors may rely on the existence of the orders in prosecuting domestic violence cases. Judges may also consider the history of domestic violence protective orders in determining an appropriate sentence.

  - **Information Delivery Proposal:** The existence of a domestic violence protective order against the defendant could be indicated on the offender search screen. Information pertaining to this order such as the date the order was entered and the complainant could be accessed through a secondary screen.

- **Sex Offender Status**

  - **Problem Identified:** Law enforcement officers need information concerning an offender's status when responding to calls of persons on school grounds, playgrounds, etc. A case that otherwise appears to be a simple trespass takes on additional significance if the party is a sex offender and the presence is a violation of conditions.

  - **Use of Information:** Law enforcement would rely on this information in determining whether an offender is in violation of state law concerning sex offenders. A violation of sex offender prohibitions may result in a separate charge and may impact conditions of pretrial release.

  - **Information Delivery Proposal:** The offender search summary screen could include an indicator of whether the defendant is a registered sex offender.

- **Immigration Status**

    o **Problem Identified:** The Wake County Sheriff's Office recently began a 287(g) program, commonly referred to as ICE (Immigration and Customs Enforcement). Under this program, offenders who are arrested may be detained until immigration enforcement officers determine their immigration status. Offenders who are illegal immigrants may be subject to deportation. Information concerning whether a defendant is subject to a detainer or whether a defendant is scheduled to be deported is not readily available to criminal justice professionals.

    o **Use of Information:** The fact that an offender is subject to a detainer or is scheduled for deportation may impact a prosecutor's decision to proceed with a case and a judge's sentence.

    o **Information Delivery Proposal:** The offender search summary screen could include an immigration indicator with a link to immigration detail.

Offender Watch

Advisory Committee members expressed a need for criminal justice professionals to receive notice of information pertaining to an offender on an assigned caseload without having to do an individual offender search. This component of the project would allow users to enter identifying information for individuals on their caseload so that they could be electronically notified when there is a change in the offender status. For example, this would allow for automatic notification to a probation officer when an offender on his caseload has a new charge, a contact with law enforcement, or is booked into a local jail.

Sources of Information

The information that would form the basis for Offender Search and Offender Watch largely is in existence in individual agency databases. Possible data sources that could provide information include:

Local jail and Sheriff's databases
ACIS (Administrative Office of the Courts system criminal database)
OPUS (Department of Corrections database)
DCI (State Bureau of Investigation Division of Criminal information database)
DMV (Division of Motor Vehicles database)
NC-JOIN (Department of Juvenile Justice and Delinquency Prevention database)

The Committee learned through talking with various criminal justice professionals that there are a number of data sharing initiatives in existence. The Committee did not receive information about these initiatives or view demonstrations. The Committee

recommends that the BEACON data integration team review existing programs to determine if they meet this project's objectives.

Conclusion

In formulating its report, the Advisory Committee has attempted to identify that information which will best assist law enforcement officers, magistrates, prosecutors, judges, probation officers and juvenile court counselors in making decisions that impact public safety. The Committee recognizes and anticipates that additional information needs may be identified as the project moves forward. The Committee appreciates the commitment of the North Carolina General Assembly, the Office of the State Controller, the Chief Information Officer and the BEACON Program Steering Committee to making this project a reality and stands ready to assist in its development.

APPENDIX A

One or more members of the Advisory Committee expressed a desire to have access to the following information:

- Incident and Crime Reports (including information that might statutorily enhance sentencing)
- Department of Correction records (including gang affiliation while in custody, visitors and associates while in custody)
- Out-of-State criminal history, probation and juvenile records
- Employment records
- Mental health history (involuntary commitments)
- Federal probation information
- Jail records (including amount of time in jail awaiting trial)
- Comprehensive suspect information (medical records, school records, DSS)
- 911 information
- Universal precautions (for detention purposes)

Appendix F: CJLEADS – Sample Screens

CJLEADS Login Screen

- *Available via the Web*
- *Secured for use by criminal justice professionals only*

CJLEADS Search Screen

- *Allows the user to enter search criteria*

CJLEADS Search Results Screen

- *Provides a list of offenders meeting the search criteria*
- *The Criminal Justice Professional reviews the results and selects the person of interest*

The information provided is test data for demonstration purposes only.

CJLEADS Summary Screen

- *A summary of the individual is displayed*

- *Items highlighted in red alert the criminal justice professional to information that may be of importance*

- *The criminal justice professional may view detailed information by selecting a tab at the top of the screen or clicking on one of the boxes at the bottom of the screen*

The information provided is test data for demonstration purposes only.

CJLEADS History Summary and Detail Screens

- *The history summary screen provides a list of cases and information for the individual*

- *The criminal justice professional can "drill into" detailed case information by double clicking on a specific case*

The information provided is test data for demonstration purposes only.

**CJLEADS Community
Corrections Summary and
Detail Screen**

- *The Community Corrections summary and detail screens provide probation, parole, and post sentence release information for the individual*

- *The criminal justice professional can "drill into" a sentencing period by double clicking on a specific case*

The information provided is test data for demonstration purposes only.

CJLEADS Timeline Screen
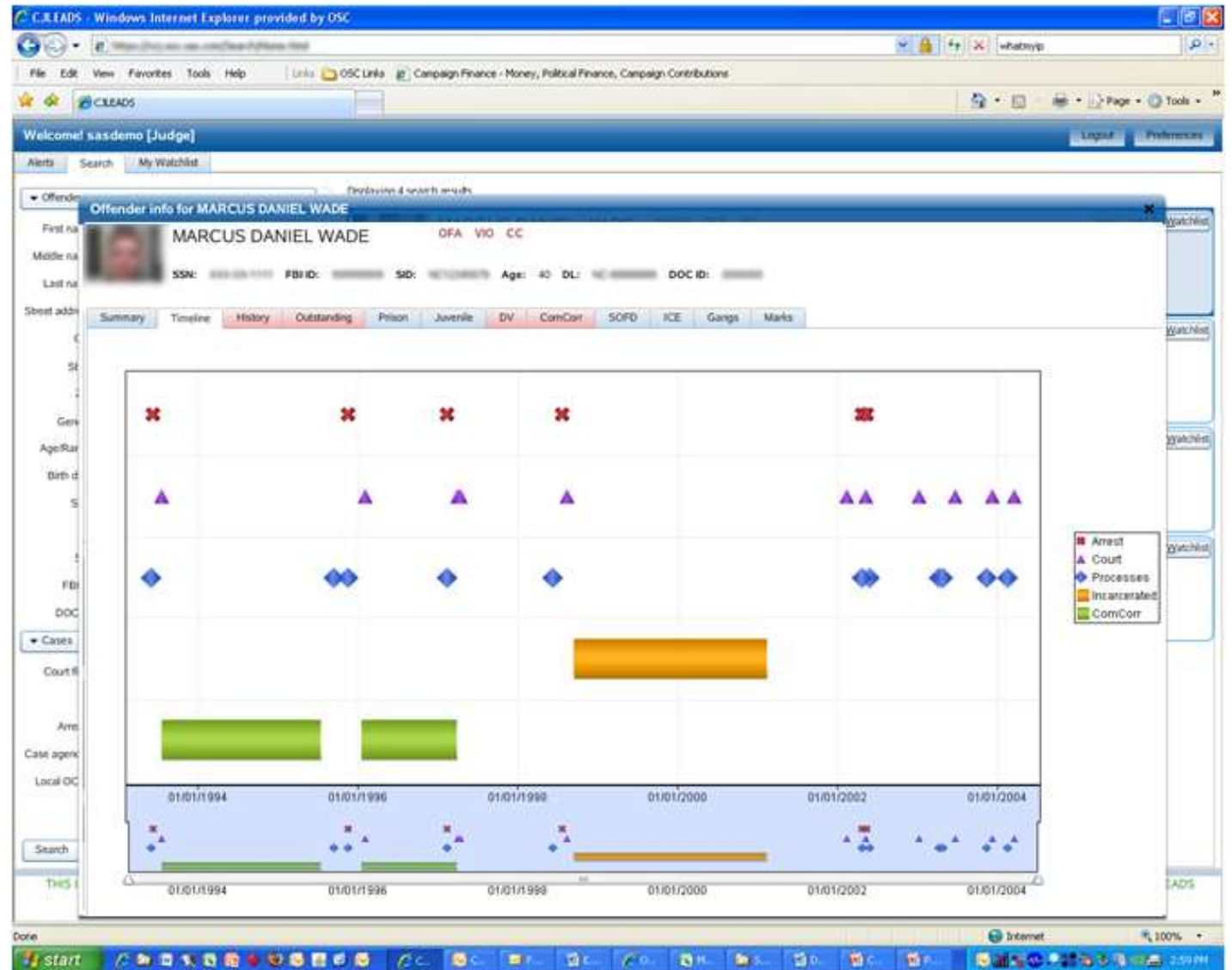
- *The timeline screen provides a visual representation of an individual's criminal information.*